



*mc* Sector  
*AS* 10  
PATENT  
ATTORNEY DOCKET NO.: 041514-5106

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Shinichi TAKAHASHI et al. )  
Application No.: 09/770,673 ) Group Art Unit: 2874  
Filed: January 29, 2001 ) Examiner: Unassigned  
For: OPTICAL PICKUP APPARATUS AND )  
LASER DIODE CHIP )

Commissioner for Patents  
**BOX MISSING PARTS**  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

1. This replies to the Notice to File Missing Parts of Nonprovisional Application mailed May 21, 2001.  
A copy of the Notice To File Missing Parts Of Nonprovisional Application is enclosed.
2. Declaration Or Oath  
 [X] No declaration or oath was filed. Enclosed is the original Combined Declaration and Power of Attorney  
  
 [ ] The specification attached to the declaration is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.  
  
 [ ] The declaration or oath which was filed was determined to be defective. A new original Combined Declaration and Power of Attorney is attached.

ATTORNEY DOCKET NO.: 041514-5106

Application No.: 09/770,673

Page 2

3. English Translation of Non-English Language Papers

Submitted herewith is a verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO.

Also enclosed is the Verification of Translation Document

4. Small Entity Statement(s)

Verified Statement(s) that this is a filing by a small entity  
 is attached

was filed on \_\_\_\_\_.

5. Fee Calculation

			Basic Fee:	
			Patent Application-\$710.00	\$710.00
			Design Application-\$320.00	
Total Claims	Number Filed 5- 20 =	Number Extra	at a Rate of \$18.00 each=	+
Independent Claims	2- 3 =		\$80.00 each=	+
Multiple dependent claim(s), if any			\$270.00	+
Missing Parts Surcharge Fee			\$130.00	+130.00
<b>SUB-TOTAL =</b>				840.00
Reduction by 1/2 for filing by a small entity				- \$
<b>SUB-TOTAL =</b>				840.00
Fee For Application Filed With A Non-English Specification (37 CFR 1.17(k) and 1.52(d))			\$130.00	+
Fee For Processing and retention of application (37 CFR 1.21(l) and 1.53(d))			\$130.00	+
<b>TOTAL FILING FEE =</b>				<b>\$840.00</b>

6. Extension of Time

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136(a) apply.

[ ] Applicant petitions for an extension of time, the fees for which are set out in 37 CFR 1.17(a)-(d), for the total number of months checked below:

<u>Total months requested</u>	<u>Fee for extension</u>	<u>[fee for Small Entity]</u>
[ ] one month	\$ 110.00	\$ 55.00
[ ] two months	\$ 390.00	\$195.00
[ ] three months	\$ 890.00	\$445.00
[ ] four months	\$1,390.00	\$695.00
[ ] fifth months	\$1,890.00	\$945.00

Extension of time fee due with this request:

\$ \_\_\_\_\_

If an additional extension of time is required, please consider this a Petition therefor.

[X] Applicants believe that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicants have inadvertently overlooked the need for a petition and fee for extension of time.

7. Fee Payment

The total fee due is: Completion Fees \$840.00  
Extension Fees \$  
Assignment Fee \$ 40.00  
Total Fee Due \$880.00

[X] Enclosed is one check in the amount of \$ 880.00 representing the total fee due.

[X] **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R §1.16 and §1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310.

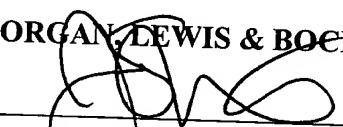
ATTORNEY DOCKET NO.: 041514-5106  
Application No.: 09/770,673  
Page 4

8. Additional papers enclosed.

Preliminary Amendment  
 Formal Drawings - 6 sheets containing 10 figures  
 Information Disclosure Statement  
 PTO-1449, \_\_\_ document as listed  
 Claim for Priority  
 Certified copy of Japanese Application No. 2000-31786 filed February 9, 2000  
 Citations  
 Declaration of Biological Deposit  
 Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

  
John G. Smith  
Reg. No. 33,818

Date: July 23, 2001

**CUSTOMER NO. 009629**  
**MORGAN, LEWIS & BOCKIUS LLP**  
**1800 M Street, N.W.**  
**Washington, D.C. 20036**  
**(202) 467-7000**



PATENT  
ATTORNEY DOCKET NO. 041514-5106

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Shinichi TAKAHASHI et al. )  
Application No.: 09/770,673 ) Group Art Unit: 2874  
Filed: January 29, 2001 ) Examiner: Unassigned  
For: OPTICAL PICKUP APPARATUS AND )  
LASER DIODE CHIP )

Commissioner for Patents  
Washington, D.C. 20231

**SUBMISSION OF FORMAL DRAWINGS**

Filed herewith are six (6) sheets of formal patent drawings containing ten (10) figures. It is requested that these drawings be approved and made part of the official record in the above-identified patent application.

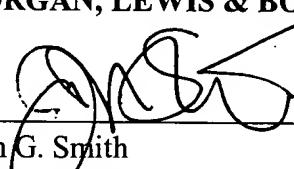
If there are any fees due in connection with the filing of these drawings, please charge the fees to our Deposit Account No. 50-0310. If a fee is required for an extension of time under 37 C.F.R. 1.136 not accounted for above, such an extension is requested and the fee should also be charged to our Deposit Account.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

Dated: July 23, 2001

Customer No. 009629  
**MORGAN, LEWIS AND BOCKIUS LLP**  
**1800 M STREET, N.W.**  
**WASHINGTON, D.C. 22036-5869**  
**(202)467-7000**

  
John G. Smith  
Reg No. 33,818



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/770,673	01/29/2001	Shinichi Takahashi	041514-5106

009629  
MORGAN, LEWIS & BOCKIUS  
1800 M STREET NW  
WASHINGTON, DC 20036-5869

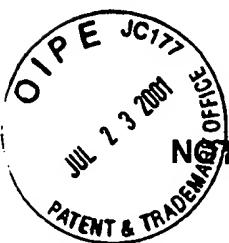
CONFIRMATION NO. 5427

FORMALITIES LETTER



\*OC000000006095878\*

Date Mailed: 05/21/2001



**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

---

*A copy of this notice **MUST** be returned with the reply.*

*Sebi*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/25/2001 EABRAXA1 00000049 09770673

01 FC:101  
02 FC:105

710.00 0P  
130.00 0P